



DEPARTMENT OF THE NAVY

CHIEF OF NAVAL EDUCATION AND TRAINING
250 DALLAS ST
PENSACOLA FLORIDA 32508-5220

CNETINST 5040.5B

OTE1MA

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CNET INSTRUCTION 5040.5B

Subj: DEPARTMENTS OF NAVAL SCIENCE (DNS) AT MARITIME ACADEMIES
AND COLLEGES INSPECTION PROGRAM

Ref: (a) SECNAVINST 5040.3A
(b) CNETINST 5200.6C

Encl: (1) DNS Inspection Guide
(2) DNS Enlistment Service Record
(3) Dental Record
(4) Medical Record
(5) DNS Command Inspection Report (Format)
(6) DNS Inspection Schedule

1. Purpose. To establish objectives, assign responsibilities, and prescribe procedures for conducting and reporting the DNS Inspection Program.

2. Cancellation. CNETINST 5040.5A

3. Revisions. Since this is a major revision, specific additions, deletions, and revisions have not been noted as such.

4. Concept. By reference (a), the Secretary of the Navy (SECNAV) established the objectives and policies for inspection of organizations and functions within the Department of the Navy (DoN).

5. Objectives

a. To ensure the operational and materiel readiness, effectiveness, and efficiency of Navy and Marine Corps commands and units.

b. To assist commanders and commanding officers in improving the performance, readiness, efficiency, effectiveness and quality of life of the commands, units, and activities for which they are responsible. Inspections are to provide commanders and commanding officers mission-relevant evaluations and recommendations that are timely, accurate, candid, and objective.

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c. To help Sailors, Marines, and DON civilians improve the performance, readiness, efficiency, and effectiveness of their organizations while constantly improving individual quality of life through evaluation, training, assistance, and mentoring.

d. To recognize, commend, and disseminate good practices, spreading ideas that work as widely as possible throughout DON.

6. Action

a. DNS

(1) Enclosure (1) is the inspection guide to be used to conduct the inspection. All areas will be reviewed and the results of the review documented on enclosure (1). The documentation must be thorough in that anyone reading the documentation will understand exactly what was found during the review. In most instances, yes/no answers will not be explicit enough to document the review. Enclosures (2) through (4) should be used to review all enlisted service, medical, and dental records. Enclosure (1) has been formatted in Microsoft Word (Tables) for ease in entering data. CNET (OTE1MA) will email the checklist upon request.

(2) Discrepancies that can be corrected prior to preparing the formal inspection report may be corrected and will not be part of the formal inspection report (enclosure (5)). Indicate on the working papers (enclosures (1) through (4)) that the discrepancy was corrected and how that correction was made.

(3) Enclosure (5) is the format to be used to prepare the formal inspection report. Enclosures (1) through (4) to this instruction will be forwarded as an attachment to the formal inspection report.

(4) Report action on each finding within 30 days from the date of the report to CNET (OTE1M). For findings not corrected after the initial report, follow-on reports will be submitted quarterly until all action(s) is (are) completed.

(5) The inspection report is due to CNET (OTE1M) 1 February.

(6) The DNS, Officer in Charge will conduct the command inspection of his/her activity per the schedule in enclosure (6).

b. CNET (OTE1MA)

- (1) Review inspection reports submitted by activities.
- (2) Develop a follow-up system on continuing action items.
- (3) Review program data for compliance with program regulations.
- (4) Conduct assist visits.
- (5) Conduct unplanned onsite performance standards visits, as needed, if problems/inconsistencies are detected.
- (6) Prepare cover letter and forward the inspection report to the Naval Inspector General.

7. Oversight. The CNET Inspector General will retain oversight review of all DNS inspections.

8. Privileged Nature of Inspection Reports. In addition to being identified as "For Official Use Only," the following caveat shall be included on all inspection reports:

"The information contained herein relates to internal practices of the Department of the Navy and is an internal communication within the inspecting command. This report is not releasable, nor may its contents be disclosed outside of original distribution, nor may it be reproduced in whole or in part, without prior written approval of CNET. Per SECNAVINST 5040.3A, requests for this report, portions thereof, or correspondence related thereto from a source external to the Department of the Navy shall be promptly referred to the Naval Inspector General for Navy Department coordination and clearance. Holders of this report shall strictly observe this caveat."

9. Reports. The reporting requirements contained in this instruction are exempt from reports control by SECNAVINST 5214.2B.

10. Command Inspection Guide. The command inspection guide is included as enclosure (1). Activities are encouraged to use the inspection guide as an everyday management tool and guide for operations within the respective inspection areas. **Recommended**

changes, additions, and deletions to the inspection guide are welcomed.

11. Alternate Management Control Review (AMCR) Report.

Reference (b) indicates the AMCR may be used to report a review of an assessable unit through a command inspection. Since the triennial command self-inspection will review all aspects of the DNS Program, a separate management control review by the activity is not required. CNET (OTE1M) will use the DNS self-inspection report received from the DNS to submit a consolidated management control report to the CNET Command Evaluation Officer.


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Chief of Naval Education and Training Physical Security Survey Checklist for DNS Activities A-1 - A-4

Functional Category: Comptroller/Resources Management

Assessable Unit: Budget Execution

<u>REFERENCE</u>	<u>GUIDING DIRECTIVE</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	CNET P1533/9	NROTC Supply Procedures Manual
(b)	CNETINST 4614.1L	Uniform Material Movement Issue Priority System
(c)	OPNAVINST 4614.1F	Uniform Material Movement Issue Priority System
(d)	NAVSUPINST 4200.94	Shore & Fleet Small Purchase & Other Simplified Purchase Procedures
(e)	NAVCOMPT Manual Vol. 2, Appen. A	Prohibited Obligations Expenditures

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a)	1. Are job orders and document numbers assigned?	
Ref (a) par 2.2	2. Are the numbers in correct series, conforming to current directives?	
Refs (b,c)	3. Are requisition priorities in accordance with directives?	
Ref (d)	4. Review procurement transactions for violation of federal statutes related to appropriated funds use and limitations.	

NOV 14 2001Functional Category: Comptroller/Resources ManagementAssessable Unit: Funds Control/OPTAR

<u>REFERENCE</u>	<u>GUIDING DIRECTIVE</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	CNET P1533/9	NROTC Supply Procedures Manual

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a)	<ol style="list-style-type: none">1. Are all purchases posted in FASTDATA?2. Is an O&M,N OPTAR expenditure report submitted to the CO on a monthly basis?3. Are monthly O&M,N Document Listing Reports reconciled?4. Is FASTDATA uploaded on a regular basis? (At least once a week)	

Functional Category: Comptroller/Resource Management

Assessable Unit: Governmentwide Commercial Purchase Card
(GCPC) and Convenience Checks

<u>REFERENCE</u>	<u>GUIDING DIRECTIVES</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	NAVSUPINST 4200.94	DoN Policies and Procedures for the Implementation of the GCPC Program

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a)	1. Has a command Agency Program Coordinator (APC) been designated in writing?	
Ref (a)	2. Have formal internal operating procedures been developed and are they in compliance with the GSA contract?	
	3. Are approving officials (AO) and Cardholders designated in writing?	
	4. Are cardholders properly delegated authority in writing, and does the letter or SF 1402 set forth single purchase limits and transaction methods?	
	5. Have AO and cardholders been trained in accordance with reference?	
	6. What type of reports does the APC receive from Citibank? How often are they reviewed to ensure there is no fraud, waste or abuse of the GCPC?	
	7. Are convenience checks being written over the \$2500 limit?	

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<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a)	<p>8. Are purchase cards and convenience checks being used in accordance with reference (a)? Any evidence of items being purchased that are not authorized?</p> <p>9. Are procedures in place within the activity to ensure separation of functions? (The APC and AO cannot be a cardholder.)</p> <p>10. Is the cardholder screening for mandatory sources per the reference?</p> <p>11. Is there any evidence of splitting requirements to circumvent dollar thresholds?</p> <p>12. Do AOs and cardholders date stamp the date of receipt on official billing statements?</p> <p>13. Does documentation in purchase card transaction files include: requisition, required approvals, evidence of screening, solicitation documentation, evidence of award and evidence of receipt, inspection and acceptance?</p> <p>14. Are cardholder statements being reconciled with billing statements in a timely manner? Are cardholders and AOs processing statements within 5 working days of receipt? Are steps being taken to resolve questions promptly in order to avoid disputes?</p>	

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REFERENCE REQUIREMENTSINSPECTOR COMMENTS

15. Are cardholders rotating business sources?

16. Are the invoices certified within 5 working days and forwarded to the paying office?

17. What procedures are used to safeguard cards and account numbers, and are they adequate?

18. What procedures are used to report lost or stolen cards?

19. Are cardholders advising merchants not to charge state and local taxes (unless business is in a state that does not afford the federal government a tax-exempt status)?

NOV 14 2001Functional Category: Supply OperationsAssessable Unit: Naval Science Material and Textbooks

<u>REFERENCE</u>	<u>GUIDING DIRECTIVES</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	CNETINST 1534.1G	DNS Regulations

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a) par 505b	1. Does the student fill out and sign separate custody receipts for all Naval Science material and textbooks received for use in the course?	
Ref (a) par 505g	2. Are students required to replace, at own expense, textbooks, supplies, or equipment lost, mutilated, or destroyed through negligence or carelessness?	
Annual Inventory Letter issued each Fall	3. Is an on-hand count of CNET-provided material conducted in October?	
	4. Is a printed copy of the inventory sent to NETPDTC (Code 08231)?	

Functional Category: Supply Operations

Assessable Unit: GSA Fuel Credit Cards

<u>REFERENCE</u>	<u>DIRECTIVES</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	CNET P1533/9	NROTC Supply Procedures Manual

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a)	<p>1. Are GSA fuel card expenditures continually monitored to ensure charges are proper, detect suspected abuse, and reduce waste?</p> <p>2. Is strict physical control of the GSA gas credit card maintained?</p>	

NOV 14 2001Functional Category: Supply OperationsAssessable Unit: Vans/Vehicles

<u>REFERENCE</u>	<u>GUIDING DIRECTIVE</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	CNET P1533/9 CH 4	NROTC Supply Procedures Manual
(b)	NAVFAC P-300	Management of Transportation Reporting

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (b)	1. Does the unit require every operator to record daily vehicle usage?	
Ref (b)	2. Does the unit follow a vehicle maintenance program?	
Ref (b)	3. Is a daily safety inspection program followed?	
Ref (a)	4. Does the unit allow students to drive vehicles?	
Ref (a)	5. Do unit drivers possess proper license?	
Ref (c)	6. Are accidents reported in accordance with the reference?	

Functional Category: Property Management

Assessable Unit: Missing, Lost, Stolen or Recovered (MLSR)
Reports

<u>REFERENCE</u>	<u>GUIDING DIRECTIVES</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	CNET P1533/9	NROTC Supply Procedures Manual

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a)	1. Are surveys/MLSR reports completed when required?	
Ref (a)	a. All serialized or unserialized firearms, weapons, or ammunition regardless of value.	
Ref (a)	b. Is notification processed within 48 hours and finalized with a DD-200 or record of discrepancy?	
Ref (b)	c. Is a Financial Liability Investigation of Property Loss Form (DD-200) completed for all missing government property no matter what the value and only forwarded through the chain of command if over \$100?	
Ref (a)	d. Is all government property considered to be "sensitive items" regardless of the actual/estimated amount?	

Functional Category: Property Management

Assessable Unit: Minor Property

<u>REFERENCE</u>	<u>GUIDING DIRECTIVES</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	CNET P1533/9	NROTC Supply Procedures Manual
(b)	NAVCOMPT Manual	Appropriation Cost and Property Accounting
<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a)	1. Is the minor property recorded in the JUMS inventory program?	
Refs (a), (b)	2. Is minor property inventoried as required? a. Biannually of odd years during 15 Feb-15 Mar timeframe. b. Upon relief of a head of department, for those items in the custody of department concerned. c. Upon change of command, at the discretion of the relieving CO. d. Quarterly for small arms and weapons.	
Ref (b)	3. Are significant data such as nomenclature, stock number, allowance, unit of issue, model, serial number, and unit price posted?	

Functional Category: Property Management

Assessable Unit: Disposal Instruction/Systems and Procedures

<u>REFERENCE</u>	<u>GUIDING DIRECTIVES</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	DoD 4160.21-M	Defense Reutilization Marketing Procedures Manual

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a)	1. Focus on procedures for handling material declared excess to activity needs or allowances, adequacy in identifying, documenting, and transferring excess material to the Navy Supply System, and adequacy of in-transit accountability of excess material turned into the Defense Reutilization Marketing Office.	

NOV 14 2001Functional Category: OtherAssessable Unit: Travel Orders

<u>REFERENCE</u>	<u>GUIDING DIRECTIVES</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	CNET P1533/9	NROTC Supply Procedures Manual
(b)	JFTR U7150-F	Joint Federal Travel Regulations

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a)	1. Are travel orders recorded in a log? 2. Are travel orders properly accounted for, identifying what travel orders have been liquidated and outstanding? 3. Does the unit have a follow-up system on outstanding travel orders? 4. Are travel orders filed systematically? 5. Does the tango log contain sufficient information?	
Refs (a), (b)	6. Is correct accounting data cited for staff travel? 7. Does the unit provide appropriate copies to NETPDTC and CNET?	

Functional Category: Force Protection/Risk Management

Assessable Unit: Physical Security

<u>REFERENCE</u>	<u>GUIDING DIRECTIVES</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	OPNAVINST 5530.14C	Navy Physical Security and Loss Prevention Manual

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a) ch 1 par 0108	1. Commanders shall be aware of the Physical Security Program. Physical security is that part of an overall security program which is designed to apply physical measures for protection of activities and their materials, equipment, personnel, and documents against theft, sabotage, or other covert acts which would in some degree lessen the ability of the activity to perform its mission.	
Ref (a) ch 1 par 0117	2. Does the unit conduct the Physical Security Survey annually? (Appendix A to this instruction)	

NOV 14 2001Functional Category: Quality of LifeAssessable Unit: Substance Abuse (DAPA) (Staff)

<u>REFERENCE</u>	<u>GUIDING DIRECTIVES</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	OPNAVINST 5350.4C	Alcohol and Drug Abuse Prevention and Control

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a) par 8.1(3)	1. Is a DAPA assigned and designated in writing?	
Ref (a) par 8.1(3) (c)	2. Did the DAPA complete the DAPA course within 90 days of assuming duty or within the previous 3 years?	
Ref (a) par 8.1(4)	3. Does the DAPA provide alcohol and drug program information in command orientation programs for new personnel?	
Ref (a) par 8.1(1), & Par 8.1(2)	4. Does the command do the following: -Deglamorize alcohol use? -Emphasize responsibility and moderation in the use of alcohol? -Prohibit activities which may encourage individuals to drink irresponsibly? -Provide specific guidance to the command regarding responsible use of alcohol?	

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a) par 8.1(6)	5. Is a medical screening conducted on every member who is involved in an alcohol incident (as defined in ref (a), enclosure (1))?	
Ref (a) par 8.1(8)	6. Is appropriate disciplinary and/or administrative action taken on personnel involved in drug use and alcohol abuse incidents?	
Ref (a) par 8.1(7)	7. Does the command provide a means for command or self-referral without risk of disciplinary or career-ending implications for all members who have not incurred an incident but are in need of alcohol counseling and/or treatment?	
Ref (a) par 8.1(9)	8. Are substantiated incidents of drug and alcohol abuse documented in service records, FITREPS, evaluations, and other reports as required by instructions?	
Ref (a) par 8.1(18) (a)	9. Are Drug and Alcohol Abuse Reports (DAARs) completed after every command or self-referral, drug or alcohol incident, and final disposition determination?	
Ref (a) Encl (3) par 3f(1)	10. Have the CO, XO, and CMC attended the ADAMS manager course?	

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<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a) par 8m(3)	11. Have all officers, chief petty officers, and E-5/6 supervisory personnel completed the supervisor version of the ADAMS course?	
Ref (a) Encl (1) par 6b	12. Does the command actively monitor and support aftercare plans? (Quarterly meetings with CO, DAPA, and member)	
Ref (a) Encl (2) par 2	13. Does the command conduct an aggressive urinalysis program?	
Ref (a) Encl (2) par 11b, & par 8.1(e)	14. Is a Urinalysis Program Coordinator (UPC) designated in writing? Note: DAPA and Independent Duty Corpsmen shall not be assigned as UPC.	
Ref (a) Encl (3) par 1	15. Has the UPC received training on UPC duties?	
Ref (a) par 8.1(10) (a)	16. Is random urinalysis conducted on between 10 and 20 percent of assigned personnel monthly?	
Ref (a) Encl (2) App B	17. Does the UPC accurately follow procedures for the collection and transportation of urine samples?	

Functional Category: Command Climate

Assessable Unit: Command Managed Equal Opportunity (CMEO) for
Military

<u>REFERENCE</u> :	<u>GUIDING DIRECTIVES</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	OPNAVINST 5354.5	Command Managed Equal Opportunity (CMEO)
(b)	OPNAVINST 5354.1E	Navy Equal Opportunity
(c)	NAVADMIN 313/99	CMEO Program
(d)	NAVADMIN 176/99	Revised Equal Opportunity and Sexual Harassment SITREP Reporting Requirements

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a) Encl (1) par 2a	1. Has the commander issued his/her EO policy?	
Ref (b) par 7k(9)	2. Is there a designated CMEO Officer/Manager?	
Ref (b) par 7h	3. Has the CMEO Officer/Manager attended the formal CNET training course?	
Ref (c) par a	4. Has the command conducted an EO climate assessment and/or follow-up assessment? (Note: no longer mandatory within 6 months of assuming command but must be conducted sometime during command tenure.)	
Ref (c) par e	5. Have all military personnel attended annual sexual harassment and fraternization policy training in GMT?	

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REFERENCE REQUIREMENTS

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- Ref (c) 6. Have all military
par e attended annual grievance
procedures training?
- Ref (c) 7. Are complaint or
par f grievance procedures posted
prominently for all hands?
- Ref (c) 8. Does the command have a
par g copy of reference (c)?
- Ref (d) 9. If the command had a
formal complaint were the
reporting requirements
properly followed?
- Ref (b) 10. Does the command achieve
Sect. I equal treatment for its
members in the following
areas:
- Discipline/military
justice?
- Assignments/training/
promotions/advancements?
- Awards?
- Evaluations?
- Ref (b) 11. Does the command take
Sect. I effective disciplinary action
par 1b(6) when required to enforce the
command EO policy?

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Functional Category: Command ClimateAssessable Unit: Equal Employment Opportunity (EEO) Programs

<u>REFERENCE</u>	<u>GUIDING DIRECTIVES</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	CNETNOTE 12713 of 23 Oct 01	EO/EEO and Prevention of Sexual Harassment (POSH) Policy Statements
(b)	OCPMINST 12713.2	DoN Discrimination Complaints CPI 713
(c)	CNETINST 12713.9A	Management of Equal Employment Opportunity and Discrimination Complaints Programs
(d)	OPNAVINST 12720.1	Implementation of the DoN Federal EO Recruitment Program
(e)	SECNAVINST 5300.26C	DoN Policy on Sexual Harassment

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (b)	1. Does the command publish discrimination complaint information to include name of EEO Officer, counselors; their location and telephone numbers; and the complaint procedure process?	
Refs (a-c)	2. Is the EEO policy statement of the DoN, CNET, and Commanding Officer posted on official bulletin boards?	
Ref (c) par 5a(7) (a)	3. Do supervisors receive annual EEO training?	

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<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (d)	4. Are EEO elements included in all civilian supervisor and manager performance standards?	
Refs (a-c)	5. Is the POSH policy statement of the DoN, CNET, and Commanding Officer posted on official bulletin boards?	
Ref (e)	6. Do employees and supervisors receive annual POSH training?	

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Functional Category: Personnel/Organization ManagementAssessable Unit: General Military Training (GMT)

<u>REFERENCE</u>	<u>GUIDING DIRECTIVES</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	CNO NAVOP 003/99 (CNO WASH 192035Z Apr 99	Inter-Deployment Training Cycle (IDTC) Workload Reduction Update
(b)	SECNAVINST 1610.2	DoN Policy on Hazing
(c)	OPNAVINST 1620.1B	Extremist/Hate Groups
(d)	OPNAVINST 1740.5	Personal Financial Management Education, Training and Counseling Program
(e)	OPNAVINST 1752.1A	Sexual Assault Victim Intervention (SAVI) Program
(f)	SECNAVINST 3300.3	Combating Terrorism Program Standards
(g)	OPNAVINST 3500.39A	Operational Risk Management
(h)	OPNAVINST 5090.1B	Environmental and Natural Resources Program
(i)	OPNAVINST 5100.19D	Navy Occupational Safety Program and Health (NAVOSH)
(j)	OPNAVINST 5100.23E	Navy Occupational Safety and Health (NAVOSH) Program
(k)	OPNAVINST 5100.25A	Navy Recreation, Athletics and Home Safety Program
(l)	SECNAVINST 5300.26C	DoN Policy on Sexual Harassment

<u>REFERENCE</u>	<u>GUIDING DIRECTIVES</u>	<u>SUBJECT OF DIRECTIVE</u>
(m)	OPNAVINST 5350.4C	Alcohol and Drug Abuse Prevention and Control
(n)	OPNAVINST 5354.1E	Naval Equal Opportunity (EO) Policy
(o)	OPNAVINST 5370.2B	Navy Fraternization Policy
(p)	OPNAVINST 5530.14C	Physical Security and Loss Prevention
(q)	OPNAVINST 6100.2	Health Promotion Program
(r)	OPNAVINST 6110.1F	Physical Readiness Program

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
(a)	1. Reference (a) restructured and consolidated all non-occupation specific all-hands training into the GMT Program. Total GMT requirements will be limited to 12 hours annually and will be reviewed annually with fleet participation to ensure training remains relevant.	
Refs (b-r)	2. Required GMT training topics are included in references (b) - (r).	
Ref (a)	a. Does the command conduct GMT training?	
	b. Are all active duty personnel included in GMT training?	
	c. List GMT training command has conducted since the last command self-inspection.	

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Functional Category: Personnel/Organization ManagementAssessable Unit: Health and Physical Readiness (Midshipmen)

<u>REFERENCE</u>	<u>GUIDING DIRECTIVES</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	OPNAVINST 6110.1F	Physical Readiness Program
(b)	CNETINST 1534.1G	DNS Regulations
(c)	CNETINST 1500.20D	Safety Procedures for Conducting Training

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (b) par 409b	1. Physical Fitness Assessment (PFA). All personnel aspiring for commissions in the active or Reserve Navy are required to meet weight and fitness standards. (This requirement does not include applicants for the Midshipman MMR, USNR Program at the state academies before they have been appointed/enlisted in the midshipman program (sophomore year).)	
Ref (a), Ref (b) par 409b	a. Is the physical readiness test (PRT) administered twice each academic year? (PFAs shall be conducted at least 4 months and not more than 8 months apart.)	
Ref (a)	b. Are all test events completed on the same day? If a member fails any PRT event, participation in another PRT to apply to the same PFA is not permitted, i.e., no retesting.	

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<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a) Encl (2) par 4c(2), Ref (a) Encl (8)1j, Ref (c) par 6.13	c. Is the notification of the PFA test schedule promulgated at least 10 to 12 weeks before testing?	
Ref (b) par 409b(2) (a)	d. Are students placed on probation who fail to achieve minimum PRT requirements or who exceed body fat limits?	
Ref (a) Encl (2) par 4c(2)	e. Have members completed the Physical Activity Risk Factor Screening Questionnaire using COMNAVPERSCOM-approved Physical Readiness Program software?	
Ref (a) Encl (2) par 4c(2)	f. Has each member completed and signed a photocopy of the Physical Activity Risk Factor Questionnaire?	
	g. Is the photocopy of the Physical Activity Risk Factor Questionnaire kept on file?	
Ref (a) par 8g	(1) Are the forms transferred with personnel?	
Ref (a) par 8g	(2) Are copies of OPNAV Form 6110/2 and other documentation retained by the unit for 6 months after a member transfers/ graduates?	

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<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a) Encl (2) par 4c, Ref (c) par 6.13c	(3) If student answers yes to any of the questions, are students required to get medical approval before participating in physical activity and is the medical approval documented?	
Ref (a)	(4) Are all persons asked about their general health at the time of the PRT?	
Ref (a) Encl (9) par 11b	(5) Are personnel subject to Sickie Cell Trait made aware of fluid intake requirements?	
Ref (a) Encl (9) par 18	(6) Are summary records maintained?	
	2. Height/Weight/Body Fat	
Ref (a) Encl (4) (1)a	a. Review Risk Factor Screening sheets to ensure midshipmen are within height/weight standards. (22% (male), or 33% (female))	
Ref (a) Encl (4) par 2	3. Are height/weight or body fat measurements taken as part of the semi-annual physical readiness test no more than 10 days before the readiness test?	
Ref (a)	4. Have midshipmen failed PRT/height/weight/body fat three times in any 4-year period?	

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<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
	5. Swim Tests	
Ref (b) par 409c	a. Are midshipmen required to qualify at a minimum level of swimmer third class by the commencement of the second year?	
Ref (b) par 409c	b. Are students who fail to complete swimming requirements placed on probation?	
Ref (b) par 409c	c. Are midshipmen who achieve third class qualifications required to requalify annually?	
Ref (b) par 409c	d. Are records maintained to document swim accomplishment of each student?	

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Functional Category: Personnel/Organization ManagementAssessable Unit: Instructor Requirements

<u>REFERENCE</u>	<u>GUIDING DIRECTIVE</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	CNETINST 1534.1G	DNS Regulations

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a) pars 301b(2) & 302i	1. Does each instructor maintain updated lesson plans, instructional resource listings, and academic records including student grades and test files? This file will be a turnover item.	
Ref (a) par 301b(2)	<p>a. Has the instructor prepared a lesson plan for each class in the course he teaches?</p> <p>b. Review each instructor's quality of lesson plans, information sheets, instructional aids, and tests.</p> <p>c. Is the turnover file organized, clear, and in total provide a sound base from which a new instructor could start?</p>	
Ref (a) par 302i	d. Review quality of turnover file.	

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Functional Category: Personnel/Organization ManagementAssessable Unit: Student File Data (Review Boards)

<u>REFERENCE</u>	<u>GUIDING DIRECTIVES</u>	<u>SUBJECT OF DIRECTIVE</u>
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(a)	CNETINST 1534.1G	DNS Regulations
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<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
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1. Board of Review

Ref (a) par 417c	a. Was the student notified in writing at least 7 days prior to the convening of the board of review?	
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Ref (a) par 417c	b. Does the notification contain the time, date, and place as well as the reason for the review board?	
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Ref (a) par 417c	c. Is the student advised that he had the right to appear before the board, the opportunity to speak, to receive advice, and to submit a written statement?	
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Ref (a) par 417c	d. Were the board findings and recommendations forwarded to the OIC?	
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Ref (a) par 404a(2) (j)	e. Is the Performance Review Board report included in the midshipman's student file with any background correspondence?	
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Functional Category: Personnel/Organization ManagementAssessable Unit : Midshipman Student/Enlisted Service Record

<u>REFERENCE</u>	<u>GUIDING DIRECTIVES</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	CNETINST 1534.1G	DNS Regulations

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
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Ref (a) par 404	Midshipman Enlisted Service Record:	
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Right Side

Ref (a) par 404a (1) (a)	a. DD Form 4, Enlistment or Reenlistment Agreement - Armed Forces of the United States Form	
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Ref (a) par 404a (1) (b)	b. NAVPERS 1070/621, Agreement to Extend Enlistment Form	
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Ref (a) par 404a (1) (c)	c. NAVPERS 1070/602, Dependency Application, Record of Emergency Data Form	
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Ref (a) par 404a (1) (d)	d. NAVPERS 1070/605, History of Assignments Form	
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Ref (a) par 404a (1) (e)	e. NAVPERS 1070/613, Administrative Remarks Form	
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Left Side

Ref (a) par 404a (2) (a)	a. NAVPERS 1000/4, or CNET 1533/104, Midshipman Oath of Office and Appointment	
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Ref (a) par 404a(2) (b)	b. Midshipman, USNR/MMR Training and Service Agreement (CNET 1534/2 or 1534/3)	
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<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a) par 404a (2)(c)	c. SF86 and Privacy Act Statement of Understanding	
Ref (a) par 404a (2)(d)	d. Letter of Application for MMR/USNR Program (State Academies only)	
Ref (a) par 404a (2)(e)	e. OPNAV 5350/1, Drug and Alcohol Abuse Statement of Understanding	
Ref (a) par 404a (2)(f)	f. DD Form 1172, Application for Armed Forces ID Card/DEERS Enrollment (if available)	
Ref (a) par 404a (2)(g)	g. NAVPERS 1070/615, Record of Discharge from the U.S. Naval Reserve (Inactive)(if required)	
Ref (a) par 404a (2)(h)	h. Record of Discharge from other service, if applicable	
Ref (a) par 404a (2)(i)	i. Source documents (DONCAF Clearance Authorization - the DONCAF message establishing clearance eligibility). Also, an OPNAV 5520/20, Certificate of Personnel Security Investigation, Clearance and Access Form, may be prepared (not required).	
Ref (a) par 404a (2)(j)	j. All other documents relating to the midshipman deemed to be important for retention	

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Functional Category: Support ServicesAssessable Unit: Dental Record

<u>REFERENCE</u>	<u>GUIDING DIRECTIVE</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	CNETINST 1534.1G	DNS Regulations

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a) par 405i	<p>1. Dental Record Folder</p> <p>Right Side</p> <p>a. NAVMED 6150/19 with blank SF-603, Health Record-Dental</p> <p>Left Side</p>	
Ref (a) par 405i	b. NAVMED 6600/3, Dental Health Questionnaire	
Ref (a) par 405i	c. DD 2005, Privacy Act Statement	
Ref (a) par 405i	d. OPNAV 5211/9, Record of Disclosure- Privacy Act of 1974	

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Functional Category: Support ServicesAssessable Unit: Medical Record

<u>REFERENCE</u>	<u>GUIDING DIRECTIVE</u>	<u>SUBJECT OF DIRECTIVE</u>
(a)	CNETINST 1534.1G	DNS Regulations
(b)	OPNAVINST 6110.1F	Physical Readiness Program

<u>REFERENCE</u>	<u>REQUIREMENTS</u>	<u>INSPECTOR COMMENTS</u>
Ref (a) par 405h	1. Medical Record	
Ref (a) par 405h(1)	a. Health Record Jacket, NAVMED 6150/19	
Ref (a) par 405h	b. SF88 and SF93, Report of Medical Examination, with all supporting documentation	

DNS ENLISTMENT SERVICE RECORD

[illegible]

[illegible]

[illegible]

CNETINST 5040.5B

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[illegible]

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DNS COMMAND INSPECTION REPORT (FORMAT)
(**SAMPLE**)

FUNCTIONAL CATEGORY: Personnel/Organization Management

ASSESSABLE UNIT: Health and Physical Fitness (Midshipmer)

REFERENCE: (a) OPNAVINST 6110.1F

FINDING:

1. Physical Readiness Tests (PRT) are not meeting the periodicity requirement.

DISCUSSION:

1. Reference (a) requires the physical readiness of members to be tested twice each fiscal year, no less than 4 months apart.

RECOMMENDATION:

1. N01-00. That Department of Naval Science, of Anywhere, schedule and conduct the Physical Readiness Test as required by reference (a).

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SCHOOL YEAR 2001-2002 INSPECTION SCHEDULE

REPORT DUE CNET OTE1M BY 1 FEB 2002

Massachusetts Maritime Academy

SCHOOL YEAR 2002-2003 INSPECTION SCHEDULE

REPORT DUE CNET OTE1M BY 1 FEB 2003

Great Lakes Maritime Academy

United States Merchant Marine Academy

SCHOOL YEAR 2003-2004 INSPECTION SCHEDULE

REPORT DUE CNET OTE1M BY 1 FEB 2004

California Maritime Academy

Texas A&M University at Galveston

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APPENDIX ACHIEF OF NAVAL EDUCATION AND TRAININGPHYSICAL SECURITY SURVEY CHECKLIST FOR DNS

The purpose of this checklist is to provide DNS security officers and management personnel with guidelines for evaluating the adequacy of overall security programs. This checklist is not intended to be all-inclusive. The checklist is taken from OPNAVINST 5530.14C, with deleted portions not applicable to Maritime Academies.

UNIT BEING SURVEYED

 _____ UIC _____

Each DNS shall conduct physical security self-surveys at least annually. DNS will maintain physical security surveys for 3 years.

1. Answer each question with a "yes" or "no" or "n/a" as appropriate.
2. If a requirement is applicable but a waiver or exception has been approved or requested, check the "n/a" column and make reference to the approving authority or requesting document, including the waiver or exception number.
3. "REF" column in checklist refers to paragraphs/appendices contained in OPNAVINST 5530.14C, unless otherwise indicated.

CHAPTER 1INTRODUCTION

YES NO N/A REF

- | | |
|---------------------------------------------------------------------|------|
| 1. Is a security officer designated in writing? | 0110 |
| a. Inclusion in notice designating collateral duties is sufficient. | |

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YES NO N/A REF

2. Are approved waivers and exceptions on file for all physical security deficiencies that cannot be readily corrected? Send waiver requests to CNET (OS4). 0124 and App IV

3. Does the DNS have a copy of OPNAVINST 5530.14C?

CHAPTER 2
SECURITY PLANNING

YES NO N/A REF

1. Does the DNS have a current Physical Security Plan (PSP) or is the PSP included in staff regulations? 0200/0201

2. Is liaison with local law enforcement agencies maintained regarding local threat? 0211

3. Are physical security surveys of the DNS conducted in accordance with OPNAVINST 5530.14C? 0117

CHAPTER 3
SECURITY MEASURES

Chapter 5 of OPNAVINST 5530.14C is not applicable for Maritime Academies.

CHAPTER 4
THE SECURITY FORCE

Does the DNS unit have a Memorandum of Understanding with the campus police for security of their assigned areas within the college or university campus?

CHAPTER 5
PERSONNEL AND VEHICLE MOVEMENT CONTROL

The pass and badge identification system is not applicable for Maritime Academies, due to the small amount of assigned personnel. Personal recognition is the best form of security and should be employed by all Maritime Academies. Personnel finding

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unauthorized individuals within the DNS should contact the security officer and the campus police.

CHAPTER 6

BARRIERS AND OPENINGS

Chapter 6 of OPNAVINST 5530.14C is not applicable for DNS. Since all maritime academies are located within a college or university campus, the Department of the Navy or any other government agency does not control the barriers and openings. All outer perimeter security is controlled by campus police.

CHAPTER 7

PROTECTIVE LIGHTING

Chapter 7 of OPNAVINST 5530.14C is not applicable for DNS. The college or university campus engineers control all lighting.

CHAPTER 8

INTRUSION DETECTION SYSTEMS

Chapter 8 of OPNAVINST 5530.14C is not applicable for DNS. No Intrusion Detection Systems are used at Maritime Academies.

CHAPTER 9

PART 1

SECURITY EDUCATION AND TRAINING

The DNS at Maritime Academies hold only a very minimal amount of administrative equipment and no classified textbooks or material that would require security storage. The Maritime Academies are not concerned with disclosure of any classified material or information. Therefore, this chapter is not applicable to DNS.

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CHAPTER 9

PART 2

SECURITY FORCE TRAINING

Security force training is not applicable for DNSs. Civilian campus police perform all physical security guards and law enforcement functions.

CHAPTER 10

SECURITY FORCE COMMUNICATIONS

Since the DNS has no security force as described in OPNAVINST 5530.14C, this chapter is not applicable to Maritime Academies.

CHAPTER 11

SECURITY DEVICES AND EQUIPMENT

Security devices are not applicable to DNS as described in OPNAVINST 5530.14C. All physical security and law enforcement devices are utilized and maintained by civilian campus police.

INSPECTION GUIDE FOR PHYSICAL SECURITY

YES NO N/A REF

Evaluate command's effectiveness of performance in achieving the objectives of physical security and loss prevention as outlined in OPNAVINST 5530.14C.